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New Hampshire National Guard
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* Technician Personnel Regulation 430

Performance Management

New Hampshire National Guard Technician Appraisal Program

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Summary of Changes. This regulation establishes the Appraisal Program for all New Hampshire Army and Air National Guard technicians. It implements the references in paragraph 2. It establishes a rating system consistent and in compliance with 5 CFR Part 430, DOD 1400.24-M, CPM Subchapter 430, and NGB Technician Personnel Regulation (NGB TPR) 430. Where conflicting provisions exist with NGB TPR 430; NHNG TPR 430 will prevail. Specifically it establishes a mandatory midyear review and a three level appraisal program.

Applicability. This regulation applies to all military and competitive New Hampshire National Guard

technicians employed under provisions of 32 U.S.C. 709, except for technicians occupying temporary positions for which employment is not reasonably expected to exceed the minimum performance requirement in a consecutive 180 day period.

Supplementation. Supplementation of this regulation is not authorized.

Suggested Improvements. Users of this regulation are invited to send comments and suggested improvements directly to NHAG-HR, State Military Reservation, 4 Pembroke Road, Concord, NH 03301-5652.

* This regulation supercedes New Hampshire National Guard TPR 430, dated 24 January 1994

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1-1. Purpose. To prescribe policy, procedures and assign responsibility for the operation of the Technician Performance Appraisal Program for the Army and Air technicians employed by the New Hampshire National Guard.

1-2. Objective. The objective of the New Hampshire National Guard Technician Appraisal Program is to provide a meaningful and efficient method for the evaluation of individual, team and organizational performance. Supervisors and managers will assure that technicians understand clearly what their performance standards are and the performance is rated in a timely manner.

1-3. Applicability. This regulation applies to all excepted and competitive National Guard Technicians employed under the provisions of 32 U.S.C. 707. Temporary technician positions for which employment is not expected to exceed 180 days are exempt.

1-4. Basic Requirements. This regulation requires:

a. Written Task/duty statements and critical job elements are established for all positions within 30 days of employment or job change.

b. Technicians are informed of their Task/duty statements and critical job elements at the beginning and during each appraisal period. Technicians are periodically provided feedback throughout the appraisal period, to include a mid year review, on how well they are progressing. Performance counseling sessions are recorded on the Technician Expectation and Evaluation Form. (NHNG 430).

c. The results of the performance appraisal are used as the basis for training, rewarding, reassigning, reducing in grade, removing, reduction in force, and as a basis for assisting technicians to improve performance. [Performance Improvement Plan (PIP) - see Chapter 4].

d. Actions to reassign, reduce in grade, or remove based on unacceptable performance are taken only after the technician has been given a thirty (30) day notice.

e. State review and appeals board will be established to review and resolve disagreements over appraisals.

1-5. Responsibilities.

a. The Adjutant General.

(1) Establish a Performance Appraisal Program, and proper operation and administration of the program.

(2) Communicate with supervisors and technicians, (e.g. through formal training) about relevant parts of the state's Performance Appraisal Program.

(3) Establish a state review and appeal process to review and resolve complaints about assigned appraisals.

(4) Ensure that each supervisor and manager is appraised on performance in furthering Equal Employment Opportunity goals and objectives.

(5) Ensure that written task/duty statements are established for each technician position, including those serving in a trial/probationary period.

b. Human Resources Officer (HRO):

(1) Administer the State Performance Appraisal Program. Provide timely advice and assistance to supervisors.

(2) Conduct training for all personnel (including non-technicians) involved in the appraisal process.

(3) Review completed appraisals for timeliness, completeness, and conformance with the regulatory requirements of the state's Performance Appraisal Program.

(4) Keep necessary records, evaluate effectiveness of the state's Performance appraisal Program, and advise the Adjutant General.

(5) Administer the state's review and appeal process.

c. Supervisors and Technicians are collectively responsible to:

(1) Cooperate in the establishment of written Task/duty statement and critical job elements for each individual position.

(2) Maintain an ongoing dialogue that will keep technicians informed as to how their performance compares to established Task/duty statement and provide a clear understanding of the level of performance required for each appraisal level.

CHAPTER 2

THE APPRAISAL PROCESS

2-1. Performance Planning.

a. At the beginning of the appraisal period, (within first 30 days) supervisors will identify critical job elements and task/duty statements, insuring standardization where possible. This also applies to employees detailed 120 days or more.

Task/duty statements and expectations standards will be recorded on NHNG Form 430. Identify critical elements by checking the appropriate box. A copy of this form is given to the technician at the beginning of the appraisal period, and as any changes occur. For instructions on identifying critical elements, establishing task/duty statements, conducting appraisals and appraising supervisors see Appendix B & C.

2-2. Requirements for supervisors:

Critical elements and task/duty statements for supervisors will reflect mission as well as individual duties and responsibilities. Equal employment opportunity (EEO) will be identified as a critical element for all supervisors who are responsible for appraising technicians. See **Appendix C** for guidelines on appraising performance.

2-3. Mid Year Review. Mid year review (MYR) sessions provide the means for the appraiser to review task duty statements and to tell the technician how well they are meeting expectations. It fosters discussion and allows the technician to clarify or make input into the appraisal process.

a. NHNG Form 430 will be utilized to record the mid year review. This is conducted at the mid point (6 months) of the appraisal period. See Appendix D. The NHNG Form 430 must be initialed and dated by the appraiser and technician.

b. Both the appraiser and technician will retain a copy of the NHNG Form 430.

c. Feedback Sessions.

(1) Documented feedback sessions do not replace informal day to day feedback. Employee counseling and feedback should be on going and continuous.

(2) Feedback sessions should be accomplished in a one to one setting. Feedback sessions by telephone should be conducted only when absolutely necessary; such as when geographically separated, when on extended TDY, or when otherwise impractical.

(3) An appraiser's failure to conduct a required feedback session may result in an appeal or invalidation of the performance appraisal.

(4) Initials on the NHNG Form 430 only signify that the feedback session took place.

(5) Information and entries contained on the NHNG Form 430 are performance related. Task duty Statements, expectations, and actual performance are valid entries. Other issues, such as tardiness, appearance, bearing, etc., should only be

discussed regarding their relationship to performance. These other topics are not feedback issues and are conducted using normal disciplinary counseling or adverse action processes and documented on NGB Form 904-1.

d. Working with the NHNG Form 430: (See Appendix E.

2-4. The Annual Review.

a. At the end of the appraisal period, the supervisor will review the technician's performance and assign a performance rating for each element. Ratings of Unacceptable, Fully Successful, Excellent will be used.

b. For an overall rating of Excellent, a technician must receive at least one Excellent rating in a critical element and Fully Successful in all other elements. For an overall rating of Fully Successful, a technician must receive a Fully Successful rating in all critical elements. A rating of unacceptable in other than critical elements may not necessarily result in an overall rating of unacceptable. An Unacceptable rating in a critical element will result in an overall rating of Unacceptable regardless of any other rating received in any other elements. For a Performance Improvement Plan (PIP) See Chapter 4.

c. Comments are mandatory for Unacceptable performance. However, comments may also include areas of improvement, future expectations, areas of concern, and exceptional performance.

d. NHNG Form 430 is used to record the technician's official performance appraisal. (see Appendix E)

2-5. Trial/probationary period appraisals.

a. New technicians are to be carefully observed and appraised during the 12-month trial/probationary period to determine whether they have the qualities needed for permanent Government service. During this period, supervisors should provide specific training and assistance to improve the technician's work performance. Supervisors of technicians serving a trial/probationary period must, no earlier than the beginning of the 9th month nor later than the end of the 10th month of such period, (See App D) submit through supervisory channels to the HRO a signed NHNG Form 430. This evaluation is not considered an official performance appraisal for the purpose of appeal rights. The immediate supervisor will check on NHNG Form 430 certifying whether the technician is to be retained or not retained. If retention is not recommended, the HRO will take appropriate action

to remove the technician from the Federal service. No portion of this paragraph is to be interpreted as preventing or discouraging the removal action at anytime during this trial/ probationary period.

b. A technician serving a trial/probationary period will not be given an official appraisal until after completing the required 12 months. After completing the probationary period, they are given an official performance appraisal.

2-6. Performance appraisal while on detail.

When a technician has been officially detailed to another position either to the same or to a different supervisor for a period 120 days or more, written Task/duty statement and critical job elements will be established for this position. The technician's performance while on the detail will be appraised by the detail supervisor. This additional appraisal will be considered, but may not raise or lower the overall performance appraisal when considering similar duty tasks. For details of 120 days or more, the additional appraisals will be given equal weight in determining the overall appraisal. NHNG Form 430 will be used to record this appraisal. The detailed supervisor will provide a memorandum for record addressing specific aspects of the technician's performance if less than a 120 days.

2-7. Appraisal schedule.

Performance appraisals for all permanent and indefinite technicians will be accomplished according to Appendix D.

2-8. Postponement of annual review.

Annual technician appraisals may be postponed normally for not more than 180 calendar days in circumstances when the supervisor has not had sufficient time to observe the technician's performance in his/her present assignment. This might be due to the supervisor of the technician being newly assigned, or when the technician has not been performing the regularly assigned work because of extended details, military leave or absences. Postponements require prior approval of the HRO.

2-9. Records.

a. Official performance records are available for review by the technician concerned. These include, but are not limited to, Task/duty statement, mid year review, appraisals, certification in connection with within-grade increases, incentive awards determinations, merit promotion material, trial/probationary period certification, and other related personnel management documents.

b. Any document that is used in support of an annual review will be maintained by the supervisor and kept in the technician's Supervisor Work Folder. During the processing phases of annual review, only the individuals directly in the technician's chain-of-command and those with an official need to know in the performance of their assigned duties will be permitted to review or change these documents. This applies even after the final action has been accomplished.

c. Performance documents maintained by the HRO will be placed in a separate file folder and maintained in a secure file.

2-10. Evaluating the effectiveness of the appraisal program.

a. The records and information outlined in para 2-9 will be used to monitor the effectiveness of the State's appraisal program. The HRO is responsible for evaluating appraisal results to insure that the program is being implemented in accordance with this regulation.

b. The evaluation should include but not be limited to:

(1) Timeliness and completeness of appraisals.

(2) Insuring that recommended personnel actions are consistent with the overall appraisal assigned.

c. Data gathered by the HRO will be used as necessary to refine and improve the State performance appraisal program. Suggestions for improving this program should be brought to the attention of the HRO.

CHAPTER 3 PERSONNEL DECISIONS BASED ON PERFORMANCE APPRAISALS.

3-1. General.

Considerations must be given to technician annual review when making certain personnel decisions. At the end of the appraisal period (or at anytime during the appraisal period) the appraiser will make recommendations involving the personnel actions or decisions listed below. The recommendations are subject to review by the next higher level supervisor and/or the approving official.

3-2. Within-Grade and Step Increase.

A supervisor can withhold a within grade increase if an employee receives an unacceptable performance appraisal.

3-3. Awards.

Technicians demonstrating an overall level of performance that is Fully Successful or Excellent may be recommended for monetary or other incentive awards under the technician incentive awards program consistent with available funding (See NHNG TPR 451). Times off awards are not necessarily the result of performance appraisals.

3-4. Reassigning, Reducing in Grade, or Removal. See Chapter 4.

3-5. Training.

The performance evaluation process, including ongoing discussions between the supervisor and the technician, may result in the identification of specific training needs. Recommendations for training should not be limited to less than fully successful performance (remedial training). Developmental training can be given to technicians so that they may achieve a higher-level job performance.

CHAPTER 4 UNACCEPTABLE PERFORMANCE

4-1. Unacceptable Performance.

a. The Performance appraisal program requires that managers and supervisors provide ongoing assistance to employees to improve unacceptable performance. Assistance will be provided at any time during the appraisal period that performance is determined to be unacceptable in one or more critical elements. Programs shall provide for reassigning, reducing in grade, or removing employees who continue to have unacceptable performance. Every opportunity will be given to the employee to demonstrate acceptable performance.

b. Personnel actions based on unacceptable performance must comply with the Technician Act of 1968 (Public Law 90-486) and 5 CFR 430. (see Chapter 5).

4-2. Action Based on Unacceptable Performance.

a. When a technicians performance becomes unacceptable take the following actions:

- (1) Notify in writing of Performance Improvement Plan (PIP).
- (2) Initiate PIP.
- (3) If necessary, refer the technician to the EAP coordinator (is required for alcohol and drug abuse).

b. If the technicians performance continues to be unacceptable, take the following actions:

- (1) notify technician

- (2) consider reassignment,
- (3) consider reducing in grade
- (4) consider removal

4-3. Requirements.

The Performance Improvement Plan (normally 60 days) is initiated by the technician's supervisor after consultation with the Human Resource Office and approved by the next level supervisor. (See Appendix F). Such action will be initiated anytime by the technician's supervisor if the technician's performance is unacceptable in one or more critical job elements. The supervisor does not need to wait until the end of the appraisal period to initiate these actions. Reassignment may be accomplished anytime during the PIP. Should a determination be made to reduce in grade or remove from employment following the formal PIP, a technician is entitled to:

a. A minimum 30 day advance written notice of the action to be taken (reduction in grade or removal), which identifies the critical job element(s) and documented unacceptable performance on which the action is based (see sample letter Appendix G). This advance written notice must be concurred on by an official who is in a higher level position than the immediate supervisor. (This requirement does not apply when the action is being taken by the state Adjutant General). This is not a proposed action, but is to be considered as a final notice of the action to be taken because, before this final step, the technician would have been given adequate assistance and time to improve performance.

b. If a technician submits a request to his/her supervisor to change an unacceptable performance appraisal, the supervisor will carefully review this information and advise the technician in writing whether the unacceptable performance appraisal is sustained or will be changed. If the exclusive representative (Labor Organization) has negotiated that unacceptable performance ratings are grievable, the technician may appeal or grieve, but not both. A request submitted to the State review and appeals board will be handled in accordance with guidance in Chapter 5.

4-4. Records.

When a performance action is taken against a technician, all relevant documentation will be placed in the supervisors work folder (SWF) and annotated on the NGB Form 904-1. This file is maintained by the supervisor and will contain any records of counseling, PIP, and documentation of deficiencies.

The supervisor will maintain this documentation for a period of 1 year following any action based on performance.

When all the necessary information is not available, the technician should submit what is available, and state why the other information is not available.

CHAPTER 5

APPEALS

5-1. State Review and Appeals Board.

The state review and appeals board will consist of three (3) members to provide an impartial review on performance appraisal appeals. Members serving on this board cannot be in the chain of command of the technician who is filing an appeal and should not be in a lower graded position than the technician appealing. The technician is entitled to representation during the board process.

5-2. Filing an Appeal.

A technician desiring to file an appeal of a performance appraisal, other than for unacceptable performance, may file an appeal to the HRO no later than 30 calendar days after the technician receives the appraisal. An appeal based on unacceptable performance must be filed within the 30-day advance written notice period outlined in paragraph 4-3a. In reviewing performance appraisal appeals including unacceptable performance, the board by a majority vote will recommend to The Adjutant General to change the appraisal as requested by the technician or sustain the appraisal without change. When reviewing unacceptable performance appraisals, the board will only be concerned with the performance appeal; it will not review the personnel action taken as a result of an unacceptable appraisal. Supervisors have a right to present their case. The Adjutant General will make the final decision. All members of the board must be present at all times during the hearings, and must participate in deciding on a recommendation. A technician has no appeal rights beyond The Adjutant General on these matters.

5-3. Appeal Processing.

An appeal to the board is submitted through the Human Resource Officer who will assemble the board. The appeal should contain the following information:

- a. Name of the technician
- b. Organization
- c. The appraisal being appealed
- d. Why the appeal should be changed
- e. Performance level requested
- f. Date notice received

5-4. Board Procedures.

During the proceedings, the board may admit oral or written evidence from the technician or the technician's immediate supervisor. Within fifteen (15) calendar days, the board will review and submit their recommendations directly to The Adjutant General with an information copy to the HRO. The technician and the technician's representative (if desired by the technician), and the representative of The Adjutant General will submit information the board deems pertinent. Such information may be presented orally, by presentation of witnesses, or in writing. Both oral and written information may be submitted to help reach a decision. This is provided the technician, the technician's representative, and the representative of The Adjutant General are given the opportunity to hear, and reply to any information submitted by the other parties, and are given an opportunity to question any witnesses. If any of these individuals are absent during the oral presentation, the absentee(s) must be furnished in writing any evidence admitted during their absence. The board may not use any written information to render a recommendation until the technician, the technician's representative (if any), and the representative of The Adjutant General have an opportunity to examine and reply to it. Board members must serve as impartial fact finders and review each case objectively. They must give consideration to the merits of each case.

Appendix A

Definitions

Annual Review: The appraisal assigned at the end of the period.

Appraisal: The continuing process by which the technician is kept informed of how his/her performance compares against established Task/duty statement and results in a final performance appraisal at the end of the appraisal period.

Appraisal Period: The period of time, normally one year, but not less than 180 days, for which the technician's performance will be appraised. Annual appraisal periods will normally end on the first day of the technician's birth month. See para 2-7, 2-8

Appraiser: The appraiser is the technician's immediate supervisor.

Critical Element: Responsibility so important that unacceptable performance would result in a determination that the employee's overall performance is unacceptable.

Employee Performance File (EPF): A file maintained by the HRO containing performance related documents.

Reviewer: An individual in the technician's chain of command who is the appraiser's immediate supervisor.

Supervisor's Work Folder (SWF): A file maintained by the first level supervisor. This file contains documents to assist in tracking performance, recording recognition and training. Also the NGB Form 904-1, (Supervisor's Record of Technician Employment), NHNG Form 430 (Performance Appraisal Form), and holds historical and current information on a technician as far as personnel actions are concerned.

Task/duty statement: Fully successful level of achievement, using measurable standards.

Unacceptable Performance: Performance that fails to meet the Task/duty statement in one or more critical elements.

APPENDIX B

IDENTIFYING CRITICAL ELEMENTS, ESTABLISHING TASK/DUTY STATEMENT AND CONDUCTING THE APPRAISAL

OVERVIEW

The appraisal process is more than a once-a-year meeting between supervisor and technician during which performance over the past year is evaluated and recorded on an appraisal form. Within 30 days of a technician entering a new position, a supervisor and employee will agree to task/duty statements. The overall performance appraisal, should be of no surprise to the technician. The following are the major components of the appraisal process:

- a. Reviewing the Job. The technician's job and organization or mission requirements are reviewed and critical job elements and task/duty statements for each critical element established.
- b. Setting Task/duty statement. Specific expected results are identified for each critical element of the job.
- c. Communicating the Task/duty statement. Each technician should understand exactly what is expected of him or her during the appraisal period. This necessitates periodic review of the technician's performance and a discussion of how he/she is doing in regards to the established Task/duty statement.
- d. Appraising Technician Performance. At the end of the appraisal period, performance is discussed with the technician, and the final evaluation is entered on the appraisal form.

STEPS FOR SETTING TASK/DUTY STATEMENT

STEP 1: IDENTIFY SPECIFIC TASKS AND DUTIES OF EACH ELEMENT.

- a. Gather Information. The technician's position description is the basic source of information for identifying critical elements. Task/duty statements can be further identified from the supervisors knowledge, of priorities and mission requirements.
- b. Listing the elements of the job. After identifying Element titles, record them on NHNG 430 as illustrated in appendix E.
- c. Determine Critical Elements. Once the critical elements are identified, check the critical element block. It may be the basis for removing or reducing the grade level of the employee.

STEP 2: EXPECTATIONS.

Expectations should be measured as:

Quality of work. A standard measuring the quality of a task tells how well a task must be performed and is expressed in terms of accuracy, appearance, usefulness, and effectiveness. A quality standard may be expressed as an error rate, such as the number or percentage of errors allowable per unit of work, or as general results to be achieved (if numeral rates are not possible). An example is: "X percent of reports submitted are accepted without revision."

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Quantity of work. This type of standard describes how much work is to be completed within a given time period. An example is: "Conducts X surveys per Y period."

Timeliness. This type of standard describes "when", "how soon", and "within what period" work is to be completed. An example is: "All suggestions evaluated within X days after receipt."

Expected results. This type of standard describes a specific result to be obtained, and often uses phrases such as "in order that", "as shown by", etc. An example is: "Decisions on supply needs made with sufficient accuracy that no supply item remains in short supply more than X days."

Manner of performance. This type of standard is used for positions in which personal contacts are an important factor, or when an employee's personal attitude, mannerisms, and behavior have an effect on performance. An example is: "Speaks clearly with sufficient volume to be understood by persons attending briefing."

Method of doing. This type of standard is used when there is a set procedure for accomplishing a task and when the use of other than the prescribed procedure would be unacceptable. An example is: "Forms completed in accordance with office directives."

STEP 3: COMPLETENESS OF STANDARDS

To assure completeness of prepared standards, supervisors should be able to answer yes to the following questions:

- (1) Are tasks clear and simply stated?
- (2) Do they cover all duties?
- (3) Do standards clearly state how well (quality), how soon (timeliness), and in what manner each task should be performed?
- (4) Do standards truly reflect Fully Successful performance?
- (5) Are the standards attainable?
- (6) Can the standards be exceeded?
- (7) Will adequate performance as shown in the standards produce the required results?
- (8) Do standards clearly reflect management's requirements in terms of observance of rules and regulations and safety responsibilities?
- (9) Are standards written so that unacceptable performance can clearly be identified and remedial action justified?
- (10) Are standards written so that Excellent standard can be clearly distinguished from Fully Successful performance?

APPENDIX C

C-1: GUIDELINES FOR APPRAISING SUPERVISORS:

Appraisals for supervisors pose a unique challenge, as with technicians, the appraisal process is more than once a year meeting with their supervisor. Section C-2 represents required factors that could be considered when writing new appraisals for a supervisor.

C-2: SUGGESTED SUPERVISORY ELEMENTS:

Do standards for supervisory jobs reflect such required factors as:

- a. Leadership
- b. Decision making
- c. Planning and organizing
- d. Managing positions
- e. Selecting and assigning technicians
- f. Training/developing subordinates
- g. Using incentives
- h. Maintaining technician management communications
- i. Administering constructive discipline
- j. Administering leave
- k. Promoting safety?
- l. Timeliness/Reports.

C-3: EEO:

Task/duty statement for furthering equal employment opportunity (EEO) will be appropriate to the technician's position and should be stated in terms of visible affirmative efforts. Therefore, the following guidelines may be used when appraising managers and supervisors on their performance in EEO. If no discrepancies to the questions listed below are noted, the supervisor may check full successful.

- a. Has the supervisor communicated to all subordinates his/her commitment to EEO and what is expected from each member of the work force?
- b. Has the supervisor discussed the State EEO affirmative action plan with subordinates and solicited recommendations for implementation, modification, or improvements?
- c. What specific actions has the supervisor taken to identify and eliminate any barriers to the employment and advancement of minorities and woman?
- d. Do the supervisors support the state's plan, including goals and timetables, to address identified problem areas within the work force?
- e. Does a review of the supervisor's decisions relative to selection, training, and awards indicate that full consideration is being given to all employees, including minorities and women?
- f. What actions has the supervisor taken to provide upward mobility opportunities for eligible technicians in the work force?
- g. Has the supervisor insured that the complaint poster (NGB Form 713-4) has been posted on the bulletin board?
- h. What specific affirmative steps, including setting a personal example, has the supervisor taken to assure the acceptance of all technicians, including minorities and women?
- i. Does the supervisor maintain records that show formal EEO training of all subordinate supervisors including both initial and updated orientation?
- j. Does the record indicate that the supervisor assigns like penalties for like offenses regardless of race, color, religion, sex, national origin, age, or other nonmerit factors?

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APPENDIX D**TIME SCHEDULES****TRIAL/PROBATIONARY TIME FRAMES**

<i>Month Hired</i>	<i>Trial/Probationary No Earlier Than</i>	<i>Appraisal Due Dates No Later Than</i>
January	1 September	31 October
February	1 October	30 November
March	1 November	31 December
April	1 December	31 January
May	1 January	28/29 February
June	1 February	31 March
July	1 March	30 April
August	1 April	31 May
September	1 May	30 June
October	1 June	31 July
November	1 July	31 August
December	1 August	30 September

Mid Year Review appraisal schedule

<i>Birth Month</i>	<i>Appraisal Period</i>	<i>Mid Year Review Time Frame</i>	<i>Appraisal Due Date</i>
January	2 January - 1 January	15 June - 15 July	21 January
February	2 February - 1 February	15 July - 15 August	21 February
March	2 March - 1 March	15 August - 15 September	21 March
April	2 April - 1 April	15 September - 15 October	21 April
May	2 May - 1 May	15 October - 15 November	21 May
June	2 June - 1 June	15 November - 15 December	21 June
July	2 July - 1 July	15 December - 15 January	21 July
August	2 August - 1 August	15 January - 15 February	21 August
September	2 September - 1 September	15 February - 15 March	21 September
October	2 October - 1 October	15 March - 15 April	21 October
November	2 November - 1 November	15 April - 15 May	21 November
December	2 December - 1 December	15 May - 15 June	21 December

Appendix E

Completing the NHNG Form 430

E-1. Overview: This form was designed to fulfill several requirements.

- a. Performance Expectations (what were once called standards)
- b. Midyear Review - to give the technician feedback at the midpoint of the appraisal period.
- c. Annual Appraisal.
- d. Trail/Probationary Retention Acknowledgment.

This form was also designed to be user-friendly which would require a minimum amount of administration and unlike previous processes, this one encourages hand writing certain entries. Examples for each area and a process flow chart are contained in this appendix.

E-2. Instructions for completing the technician performance expectations (see sample expectation form). At the beginning of each appraisal period, the supervisor will create a series of technician performance expectations and review with the technician. The data contained on the form can be electronically saved and used from year to year or updated as situations or working conditions/goals warrant. In either case, a new form will be generated at the beginning of the performance period.

Block 1 - Enter the technician's Last Name, First Name, Middle Initial and Social Security Number.

Block 2 - Enter the duty position title and grade.

Block 3 - Enter the technician's Organization office symbol.

Block 4 - Enter the name of the supervisor.

Block 5 - Enter the appraisal period. Refer to Appendix D for the yearly appraisal periods. If this is a Special appraisal (out of cycle) enter the appropriate dates.

Block 6 - Enter the Target Midyear Review Date. Refer to Appendix D for the review date window and select a target date.

Block 7 - Check the appropriate block. If a Special Appraisal - indicate the reason.

Block 8 - Technician Acknowledgment. Complete these blocks after the performance expectations have been reviewed with the technician.

Element Blocks - Use as applicable.

Note: All entries listed above should be entered via the computer other than block 8.

Distribution: Once initialed, a copy will be given to the technician and the master copy will become part of the Supervisor's Work Folder.

E-3. Instructions for completing the midyear review. At the target midyear review date, the supervisor will complete a midyear review. The purpose of the midyear review is to provide feedback to the technician regarding job performance. Two additional ratings are available to indicate midpoints between the three annual review ratings. Using the master copy of the NHNG Form 430 contained in the Supervisor's Work Folder, complete the following.

Step 1 - Review each element and check the appropriate block. If an element is rated "Unacceptable", a Performance Improvement Plan (PIP) must be initiated (see Chapter 4 and appendix F).

Step 2 - Calculate an Overall Midyear Review Rating and check the appropriate block on page 1.

Step 3 - Document comments that relate to the technician's performance. In particular, address issues of concern of excellent performance. Brevity and bullet statements as well as handwritten comments are acceptable and encouraged. Dialog should be the medium for feedback, this form only addresses negative or positive performances and the fact that the feedback was given.

Step 4 - The date of discussion, technician's and supervisor's initials is entered.

E-1

Distribution. Once initialed, a copy will be given to the technician and the master copy will remain as part of the Supervisor's Work Folder.

E-4. Instructions for completing the Trial/Probationary Period Appraisal. At the end of the trial/probationary appraisal period the supervisor must choose to retain or not retain the technician. Using the master copy of the NHNG Form 430 contained in the Supervisors Work Folder, complete the following:

Step 1 - Choose the appropriate block from page 1.

Step 2 - Inform the technician of your decision.

Step 3 - Make a copy of page one and forward to TAGNH/HRO.

Step 4 - Return master copy to the Supervisor's Work Folder.

E-5. Instructions for completing the Annual or Special Appraisal. At the end of the appraisal period the supervisor completes a review of the technician's job performance. Using the master copy of the NHNG Form 430 contained in the Supervisor's Work Folder, complete the following:

Step 1 - Review each element and check the appropriate block. If an element is rated "Unacceptable", a Performance Improvement Plan (PIP) must be initiated (see Chapter 4 and appendix F).

Step 2 - Within each element, document comments that relate to the technician's performance. In particular, address issues of concern or excellent performance. Like the midyear review, brevity and bullet statements as well as handwritten comments are acceptable and encouraged. Performance other than "Fully Successful" should be commented upon to provide a written "barometer" for the technician to self-evaluate future performances. Again, similar to the midyear review, dialog should be the medium for feedback, this form only addresses negative or positive performances and the fact that the feedback was given and an appraisal was completed.

Step 3 - Calculate an Overall Appraisal Rating and check the appropriate block on page 1.

Step 4 - Enter any additional comments on page one. These comments should be generic comments and not pertain to any particular element.

Step 5 - Certification. Upon completion of the appraisal feedback, the supervisor, technician and supervisor's supervisor must sign and date. Also enter the title of each individual. Signing the appraisal does not necessarily indicate the technician's concurrence with the rating, it only certifies that the technician has been briefed on the appraisal rating.

Distribution: Once signed, a copy will be given to the technician, a copy will be made for the Supervisor's Work Folder and the master copy will be forwarded to TAGNH/HRO.

E-6. Starting a new appraisal period. Upon completion of the appraisal feedback session, the supervisor will create a new technician expectation form (see paragraph E-2) and review with the technician. At this time the supervisor may desire to adjust task/duty expectations based on previous performance (expectations set too low) or previous unrealistic expectations (expectations set too high). In addition, the supervisor may want to set and incorporate annual goals into the performance expectations.

E-2

APPENDIX F**PERFORMANCE IMPROVEMENT PLAN**

The following represents various training tasks, which have been identified by the undersigned as necessary knowledge, skills and ability required to perform at the fully successful level.

All training periods will reflect a start date and a projected completion date for each major duty identified.

Technician Name: _____	Date: _____
Grade/Series: _____	—
Organization: _____	Technician's Signature: _____
—	—
Duty Title of Position: _____	Supervisor's Signature: _____
	—

Task/Duty	Expectations	Training Required	Start Training	Complete Training	Supervisor's Initials
1.					
2.					
3.					
4.					
5.					
6.					
7.					

F-1

APPENDIX G**SAMPLE LETTER FORMATS FOR UNACCEPTABLE PERFORMANCE***Instructions for Sample Letter - Notice of Written Decision Based on Unacceptable Performance*

(Appropriate letterhead)

(OFFICE SYMBOL)

(DATE)

MEMORANDUM FOR

SUBJECT: Decision to Remove/Reduce in Grade (Unacceptable Performance)
 (State the specific action you have decided to take, i.e. removal, or change to lower grade. Include series and grade of the position incumbent occupies and show full unit name and mailing address to which the technician is assigned. For example...)

1. This memorandum will serve as your adverse notice that I have decided to remove you from your technician position as title, series, facility address not earlier than thirty (30) days from the date of your receipt for this notice. The reasons for this proposed removal are:

(Give the reason for removal action. Use all available information in sufficient detail so that the technician will understand why the action is being taken.)

- a. On 1 January 1997 you and I established written Task/duty statement and identified critical job elements for your position. At that time you signed NHNG Form 430 indicating that you and I had discussed these standards and critical elements.
- b. On 2 March 1997, I informed you orally and in writing that your performance regarding critical element number ____ pertaining to ____ was unacceptable because you had failed to (list specific unacceptable of unacceptable performance on which this action is based). On 16 March 1998, I provided you with specific written unacceptable on how to improve your performance on this critical job element.
- c. Despite counseling , on-the-job training and initiation of Performance Improvement Plan, your performance of this critical job element continues to be unacceptable. Therefore, I have initiated this process to terminate your employment.

(Advise the technicians of the right to review material and where it is located, if not attached.)

2. A copy of the Technician Expectations & Evaluation Form and Performance Improvement Plan is relied upon to support this proposal is attached.

(Advise technician of his/her right to reply orally or in writing, who to make reply to, time limits involved, and how to request an extension of time.) (See Chapter 5 for appeals process).

3. You have a right to reply to this notice, either orally or in writing, to the deciding official (include address and telephone number) who will decide whether or not the proposed action should be sustained. You may submit affidavits in support of your response. Your response must be submitted to arrive within thirty (30) calendar days of receipt of this notice. Consideration will be given to extend this period if you submit a request stating your reasons for requiring more time.
4. As soon as possible after your answer is received, or after expiration of the thirty (30) day limit if you do not respond, you will be given an original decision by the person designated to receive your reply.

G-1

5. You may contact the Employee Relations Specialist in the Human Resources Office for procedural guidance at DSN _____ or Commercial _____.
6. If your conduct was affected by alcoholism, drugs, or other problems of a personal nature, you are encouraged to take advantage of our Employee Assistance Program. I urge you to contact the Employee Assistance Program directly at DSN _____ or Commercial _____ for an immediate appointment, or the Alcohol and Drug Abuse Coordinator, at DSN _____ or commercial _____.

Encls

Supervisors Signature Block

Receipt acknowledged: _____
(Signature) (Date)

(Receipt copy of proposed adverse action is furnished to the Human Resources Office.)

(Note: Contact the HRO Office for guidance on completing this form).

Figure G-1. Sample memorandum for notice of written decision based on unacceptable performance

1 January 1999

NHNG TPR 430

G-2

“SAMPLE”

New Hampshire National Guard Technician Expectation and Evaluation Form

Authority: Public Law 93-579 (Privacy Act Notice)

Principal Purpose: Used to enter employee data in the Defense Civilian Personnel System

Disclosure: Voluntary. Failure to provide information could delay entry of personnel information in HRO automated files.

1. Name (Last, First, MI) and SSAN		2. Title and Grade		3. Organization	
4. Supervisor		5. Appraisal Period To To		6. Midyear Review Date:	
7. Type of Appraisal <input type="checkbox"/> Trial / Probationary <input type="checkbox"/> Annual <input type="checkbox"/> Special (Out of Cycle) Reason:		8. Expectation Review <i>A review of the duty expectations as depicted on this form took place between the technician and supervisor. Both parties agreed upon these expectations for the appraisal period indicated in block 5.</i>		Date of Discussion	
				Supervisor's Initials	
				Technician's Initials	

Midyear Review

A review of the technician's performance was conducted and reviewed with the technician. The ratings indicated are non-binding and are only given to assist the technician with mid-year goals.			
Comments:			
Overall Midyear Review Rating <input type="checkbox"/> Unacceptable <input type="checkbox"/> More Than Unacceptable but Less than Fully Successful <input type="checkbox"/> Fully Successful <input type="checkbox"/> More Than Fully Successful but Less than Excellent <input type="checkbox"/> Excellent		Date of Discussion	
		Supervisor's Initials	
		Technician's Initials	
Annual Review			
Trial / Probationary Period Appraisal	<input type="checkbox"/> Recommend Retention	<input type="checkbox"/> Do Not Recommend Retention	
Comments:			
Overall Rating <input type="checkbox"/> Unacceptable <input type="checkbox"/> Fully Successful <input type="checkbox"/> Excellent			
<i>Certification</i>	Signature	Title	Date
<i>Supervisor</i>			
<i>Technician</i>			
<i>Reviewer</i>			

“Sample”

Element Number	of	Element Title	<input type="checkbox"/> Critical Element
Task / Duty Statement		Expectation	
Midyear Review <input type="checkbox"/> Unacceptable <input type="checkbox"/> More Than Unacceptable but Less than Fully Successful <input type="checkbox"/> Fully Successful <input type="checkbox"/> More Than Fully Successful but Less than Excellent <input type="checkbox"/> Excellent		Annual Review <input type="checkbox"/> Unacceptable <input type="checkbox"/> Fully Successful <input type="checkbox"/> Excellent	Performance Improvement Plan <input type="checkbox"/> PIP Required
Annual Review Comments			

Element Number	of	Element Title	<input type="checkbox"/> Critical Element
Task / Duty Statement		Expectation	
Midyear Review <input type="checkbox"/> Unacceptable <input type="checkbox"/> More Than Unacceptable but Less than Fully Successful <input type="checkbox"/> Fully Successful <input type="checkbox"/> More Than Fully Successful but Less than Excellent <input type="checkbox"/> Excellent		Annual Review <input type="checkbox"/> Unacceptable <input type="checkbox"/> Fully Successful <input type="checkbox"/> Excellent	Performance Improvement Plan <input type="checkbox"/> PIP Required
Annual Review Comments			